

REVISED STScI General Grant Provisions (GGP), June 2016
Summary of Significant Changes

The STScI General Grant Provisions (GGP) revised June 2016 supersedes all previous versions of the GGP in their entirety. Reference the full document (www.stsci.edu/institute/grants) for all changes.

	Introduction	p. 1	This version (June 2016) supersedes STScI GGP 8/06 and all prior versions.
Section 1	STGMS	p. 2	New section. Briefly describes the purpose of STGMS and provides a link to STGMS.
Section 2	Program Types	p. 3	New section. Lists HST program types.
Section 3	Eligibility for STScI Grant Funding	p. 4 - 6	Clarifies definition of U.S. Investigator.
Eligibility Requirements		p. 4	Para A.1. U.S. Investigators Specifies criteria for "when" a U.S. investigator is eligible to apply for an STScI grant. Must meet criteria of a U.S. investigator <u>at the time of budget submission</u> or not eligible to apply.
		p. 4	Para. A.1.a. and b. Definition of U.S. investigator incorporates the word "only" ... U.S. Citizens residing in the U.S. or abroad if salary is being paid <u>only</u> by a U.S. institution. (STScI funds are not intended to support U.S. investigators who live abroad full-time even if they do not receive a salary from a non-U.S. institution. Investigators in this status may not affiliate with a U.S. institution merely for the purpose of requesting STScI grant funds.), or U.S. permanent residents and foreign national scientists working in the U.S. if salary is being paid <u>only</u> by a U.S. institution.
		p. 4	Para. A. Eligible Investigators U.S. investigators may receive grant support while on approved sabbatical at non-U.S. institution. Temporary service on an advisory panel or acceptance of an honorarium for an invited talk at a non-U.S. institution does not make a U.S. investigator ineligible for funding.
		p. 5 - 6	Para C. Special Conditions Regarding Eligibility Addresses investigator transfer to non-U.S institution. Ref. Section 21 for specific requirements regarding disposition of funds when an investigator transfers to a non-U.S. institution.
Section 7	STScI Review of Risk Posed by Applicants	p. 10	STScI will conduct review of risk posed by applicants.
Section 10	Budgets and Allowable Costs	p. 14 - 19	Budgets. 2nd Para states that willful provision of false information in budgets, supporting documents, or reports for a grant award is a criminal offense (U.S. Code, Title 18, Section 1001).
		p. 15 - 16	Para B. Travel Previously, OMB Circular A-122, Attachment B.52 required non-profit organizations to obtain prior approval for foreign travel. This is no longer a requirement in 2 CFR 200.474 and has been deleted.
		p. 18	Para H. Relocation Specific criteria that the term of employment with an institution must be 12 months or more to request reimbursement for relocation.
Section 12	Unallowable Costs	p. 21	Lists specific unallowable costs such as cell phones, data plans, and internet service providers outside of the host institution.
Section 13	Cost Sharing	p. 22	Specifies that voluntary cost sharing or matching is not expected or required for STScI Grants.
Section 16	Grant Awards and Funding Availability	p. 25	Para B. STScI can withhold grant awards for an investigator or institution until reporting requirements for existing awards are met.

REVISED STScI General Grant Provisions (GGP), June 2016
Summary of Significant Changes

		p. 25	<p>Para C. Grantee may request early release of incremental funding.</p> <p>STScI may adjust incremental funding schedule if no costs are reported or if the costs reported do not coincide with the progress on the project.</p>
Section 19	Project Personnel Changes	p. 28	STScI must be notified of all changes to key program or grant personnel. Notifications or requests for approval must be submitted via STGMS. Investigators must maintain current address and affiliation information (provides link to ProPer).
Section 20	Authorizing or Certifying Officials, and Administrative Personnel Changes	p. 29	Authorized STGMS Account Managers at grantee institutions are required to update privileges in STGMS to reflect any changes. This includes activating and deactivating accounts.
Section 21	Transfers	p. 30 - 31	<p>Distinguishes between transfers to U.S. or non-U.S. institutions. Grantees are instructed to contact STScI GRA for instructions.</p> <p>Includes information regarding disposition of funds if investigator transfers to a non-U.S. institution.</p>
Section 22	No Cost Extensions	p. 32	<p>Requests received after the end date of the award may be denied.</p> <p>Extension must be used to complete the approved scope of work and may not be used for the purpose of using unobligated balances.</p>
Section 24	Reporting Requirements	p. 34	<p>Para. A. Interim Reports Institutions with federal expenditures less than \$750K, are exempt from submitting an A-133 audit.</p>
		p. 35	<p>Para. C. 2CFR 200.415 - Required Certification Signatory certifies "to the best of my knowledge and belief" the information submitted is true, accurate, and complete.</p>
		p. 35	<p>Para. D. Patent Rights are a reporting requirement.</p>
Section 25	Payments	p. 37	<p>Para. B. Interest Grantees may retain up to \$500 interest per year for administrative purposes (Ref. 2 CFR 200.305.b.9).</p>
Section 26	Foreign Agreement Letters to Non-U.S. Institutions	p. 38	<p>Specifies that agreement is required by Director of NASA International Affairs and may not be revised in any way.</p> <p>Investigators must maintain current address and affiliation in ProPer.</p>
Section 31	Proprietary Rights to Data	p. 44	Directs grantee to current Cycle's Call for Proposals for detailed information regarding Proprietary Periods and Data Rights.
Section 33	Publications	p. 47	<p>Para. A. Adds statement regarding Archival Research.</p>
Section 35	Access to Records	p. 49	<p>Para. B. There will be limited access to names of crime victims (Ref. 2 CFR 200.336 (b)).</p>
Section 36	Certifications, Assurances, and Representations	p. 50	<p>Expands and organizes list of required certifications, assurances, and representations.</p> <p>STScI requires certification that only U.S. Scientists will receive funding.</p>
Appendix A	Certifications, Assurances, and Representations	p. 53 - 57	Full text of updated certifications, assurances, and representations.